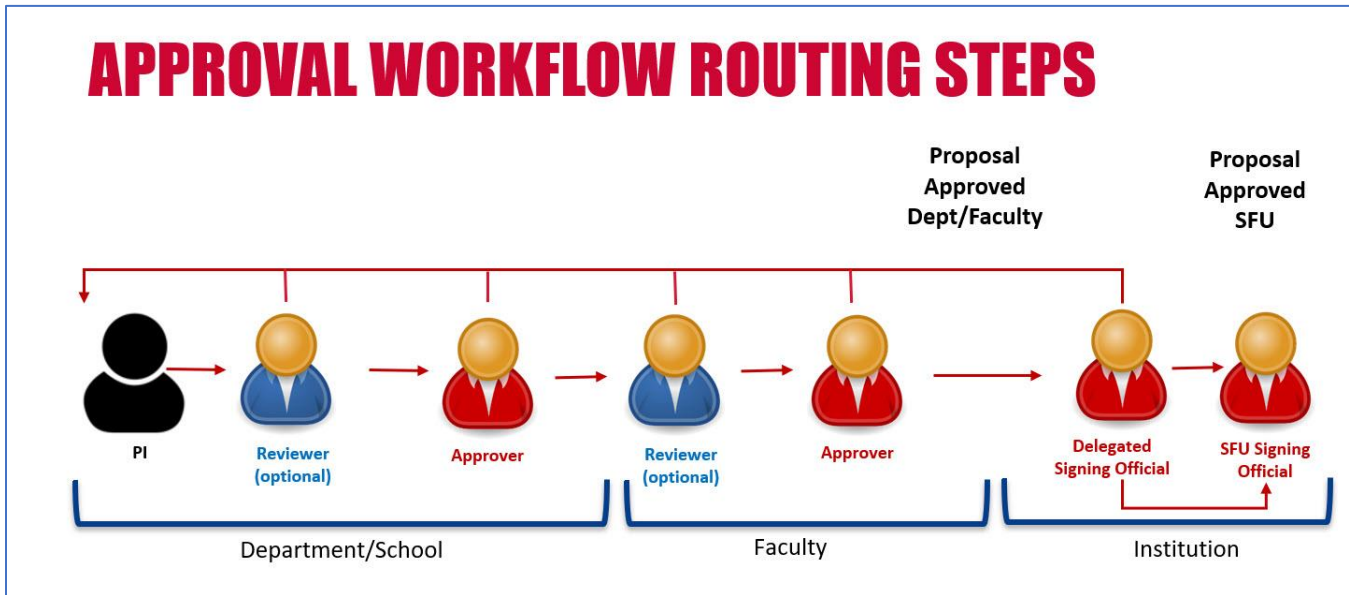# Kuali Research: Approvers

This document details the process of reviewing and approving proposals in Kuali Research.

Review and Approval Workflow

Once a PI submits a signature sheet or proposal, it is routed to a series of reviewers and approvers at the Department and Faculty level, and finally signed off at the institutional level:

Within the workflow, each role has specific responsibilities.

The **PI** is responsible for determining the project scope by:
- Developing research activities and finding funding sources for them
- Planning training and staffing for the activities
- Planning for all applicable space, renovation, retrofitting, sourcing and disposing with their Department and Faculty prior to starting the internal approval and external application process.
- Including any compliance requirements, resource requirements, and providing all supporting documentation relevant to the Department and Faculty for decision making and signoff.
- Capturing the results of special requirement conversations and approvals
- Attaching the detailed budget and proposal that will be submitted to the external party
  - NOTE: this can be final or late enough stage for scope and approvals. The attached budget encompasses all financial considerations of the project, including indirect costs and the need for any course buyouts or release time stipends. The budget tab in Kuali only includes total cost and overhead, but details on PI fees and RTS's are answered in the questionnaire.
- Ensuring all information in the proposal is accurate and complete.

Reviewers can be present at both the dept/school level and the faculty level, but assigning reviewers is optional. Kuali is programmed based on the business processes relevant to each unit. For units with reviewers configured, approvers cannot approve without the reviewer first recommending it for approval.

Reviewers typically use a role account, to reduce administration around people coming and going.

Reviewers act as a second set of eyes on the submission, and can ask PIs for any additional information or clarification to help with their decision.

Reviewers are responsible for:
- Verifying the proposal's accuracy and completeness
- Validating the budget estimates
- Verifying the PI's eligibility to apply for the grant, with regard to the position and appointment details.
    o NOTE: Later in the process, ORS verifies the PI's eligibility for the funding opportunity.
    o NOTE: Any concern at the review stage should be addressed to ORS.

Approvers at the Department/School level, are typically chairs or directors. They are committing to the department/school's ability to support the project.

Approvers must log in with their personal account, so the workflow captures the person who signed off on the proposal. If there is a change in the person in this role, you need to reach out to ORS and they will do a signing authority review.

Approvers at this level are responsible for:
- Ensuring department or school specific COI processes are followed, if applicable
- Confirming the PI's proposed time commitment can be met
- Agreeing to any proposed PI fees or RTS's
- Ensuring the facilities/resources identified will be made available

Approvers at the Faculty/Dean's Office level are typically the Associate Dean as the primary approver, and the Dean as secondary approver. They are committing to the ability to the Faculty/Dean's Office ability to support the project.

Approvers at this level are responsible for:
- Approving any RTS's or PI fees
- Ensuring Faculty-specific COI processes are followed, if applicable
- Committing to the faculty providing space, facilities, or other resources named in the proposal
- Committing to providing the personnel and funding identified in the proposal

The **Approver at the Institutional level** is the Director of Research Services, or a delegate. This level of approval is committing to the institution's ability to support the project.

The Approver at this level is responsible for:
- Reviewing the proposal
- Verifying high-level budget, funding commitments, documentation and approvals
- Determining eligibility
- Ensuring internal policies and terms of funding opportunity are followed
- Consulting the PI, the Department or Faculty if changes are necessary, or if terms and conditions for external submission are binding before the money is awarded
- Submitting proposals via portals on PI's behalf, in most cases
- Tracking any compliance commitments; for example, COI, Ethics, Animal Care, Biohazard
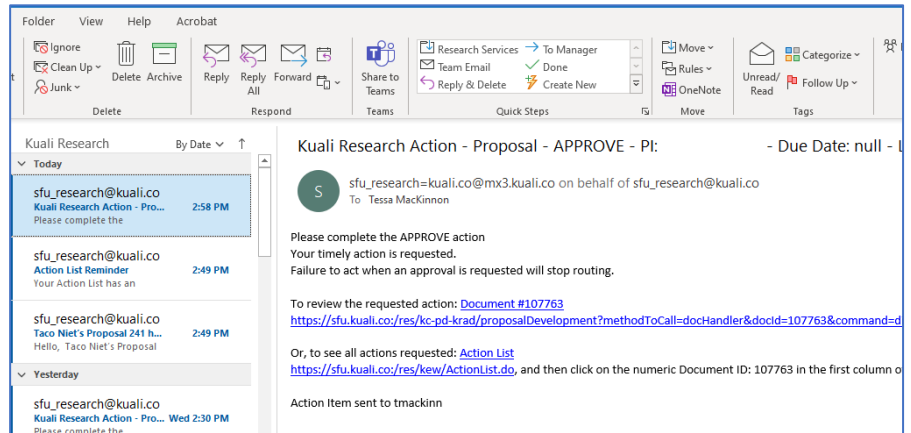
Dashboard & Email Notifications

You can find proposals that you are supposed to review and approve in one of two ways.
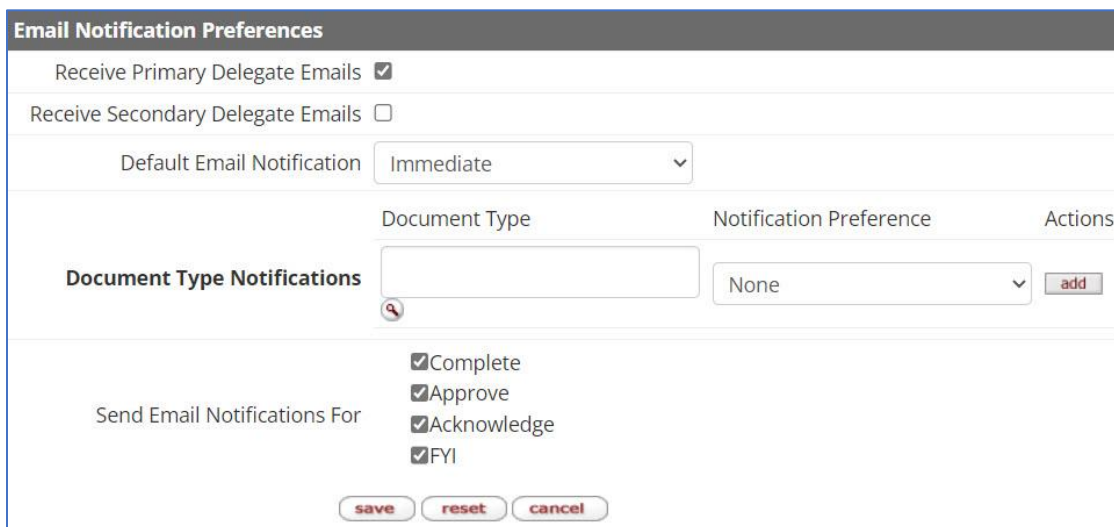
You can visit the Dashboard in Kuali Research:
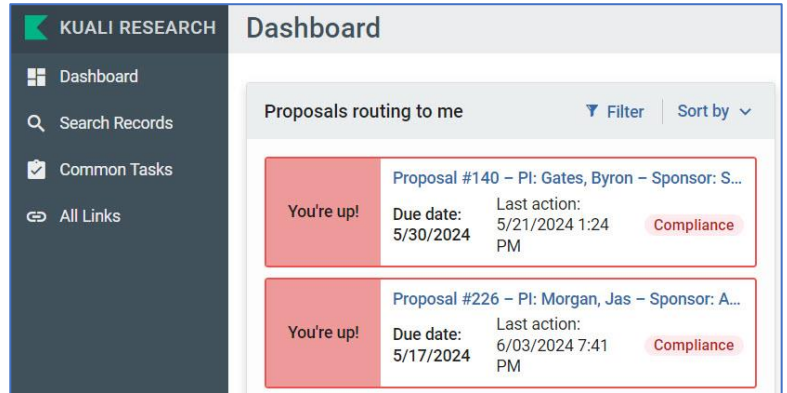
Or you can set your notifications to receive emails when something is ready for you to review and approve:

You can set your notification preferences by navigating to **All Links → Miscellaneous → Action List → Preferences → Email Notification Preferences**:

Set your Preferences accordingly.

Approving a Proposal

Once you are ready to review the proposal, click into it.

It opens on the **Summary/Submit** tab, which displays all the high-level information about the proposal, such as the Project Title, PI, Proposal Type, Project start and end dates, and Sponsor Name:

Across the top are the tabs that contain various types of information:

1. In the **Personnel** tab you can see the PI and any co-PIs from SFU who made promises toward the project. Other co-PIs are listed in the attached proposal as to be submitted to funder.
2. The **questionnaire** is where you will spend most of your time, reviewing the specifics of the proposal and justifications you need for decision making.
3. The **Compliance** tab shows if there are any compliance requirements and the status of them. At the proposal stage these are marked as "to do". Most compliance entries are informative but require no action, unless a COI is listed. If the compliance tab has COI marked, follow your units' internal process for review at the proposal stage.
4. In the **Attachments** tab, you will see a proposal and budget as submitted to the sponsor, or as close to it as possible. PIs can submit these documents separately or as one combined document.
5. The **Funding Program** tab shows the specific program from the funding agency (for example, Discovery for NSERC or Insight for SSHRC).
6. The Kuali **Budget** only shows a high-level picture of the budget allocation per year and overhead costs. No line-item budgets are submitted, as they are available in the attached full budget

At this point, can decide if you need to go back to the PI and ask for more information, or you can approve the proposal.

On each page, there is a list of each role and what the approval means:

By clicking the Approve button:

The Project Leader:

Indicates their acceptance of the terms and their willingness to carry out the work within the established budget and the availability and sufficiency of the internal and external resources identified in the project description. Should the overall budget on a Research Funding Agreement be exceeded, it is the responsibility of the Project Leader to make arrangements for payment for the over-expenditure.

Attests that all research personnel will be trained, and all applicable permits, certificates and insurance will be in place before research activities proposed in this project will start.

The Proposal Reviewer:

Indicates that the submission is complete and is recommended for approval by the approver.

The Department Chair or Director:

Acknowledges the availability in the department of facilities, space, and resources required to carry out the project (in a non-departmentalized Faculty, the Dean's signature is required).

The Dean of the Faculty:

Confirms the Dean's approval regarding allocation of infrastructure or other resources within the Faculty for performance of the proposed research, approval of the proposed time commitment including teaching releases, teaching buyouts and outside activities, and indicates awareness of any declared Conflicts of Interest.

The Vice-President, Research and International:

Indicates that the University will encourage the prosecution of the research to the extent that available facilities and resources permit, and that the University is prepared to administer funds received on behalf of the Project Leader.

[Send Adhoc] [Ad Hoc Recipients] [Approve] [Return] View Route Log [Create IP] More Actions ▾ [Close]

If you are ready to approve, click **Approve**.

The following dialog displays:

Please Select ✕

Are you sure you want to approve this document?

Approval Comment:

Attachment:

[Choose File] No file chosen

[OK] [Cancel]

Enter an **Approval Comment** and/or **Attachment** as needed and click **OK**.
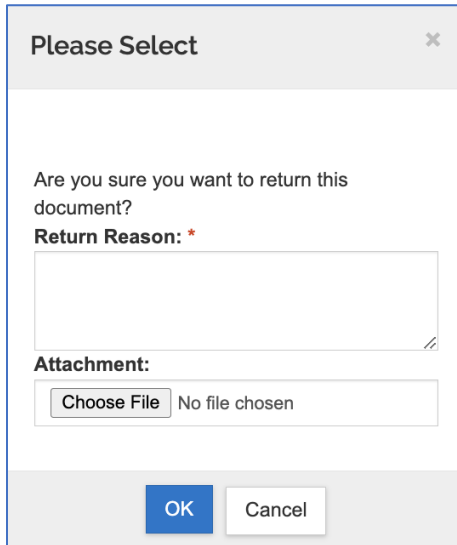
Note: you can approve the proposal even if there are warnings displayed.

Returning a Proposal

If you need justification or clarification in a form of a document, the proposal does not necessarily have to be returned. The information can be requested at any level and once the PI uploads the response document, everyone who already approved the proposal will get a notification that new information was submitted after their approval. If this is not feasible, the proposal is returned and the whole workflow starts again.

If you choose to return the proposal to the PI, click **Return**.

The following dialog displays:

Please Select ✕

Are you sure you want to return this document?

Return Reason: *

Attachment:

Choose File   No file chosen

OK   Cancel

In the **Return Reason** field, indicate what changes you are looking for, and if needed, attach a file.

The PI will see this in the notification that it has been returned to them, and it is also viewable in the **Route Log**.